

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

In the application of Lee Weng, et al.
 For: **CONTROLLED HIGH EFFICIENCY
 LESION FORMATION USING HIGH
 INTENSITY ULTRASOUND**

Application Serial No.: Not Yet Assigned

Filed: August 4, 2003

Attorney Docket No.: THRSP-0004-0002

Examiner: Not yet assigned

Group Art Unit: Not yet assigned

**UTILITY
 PATENT APPLICATION
 TRANSMITTAL**
 (PTO/SB/05 (03-01))



| | |
|---|--|
| <p style="text-align: center;">APPLICATION ELEMENTS</p> <p><i>See MPEP chapter 600 concerning utility patent application contents.</i></p> <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i> 2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages: <u>22</u>] <i>Preferred arrangement set forth below</i> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings <i>(if filed)</i> - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s). See 35 U.S.C. 113 [Total Sheets: <u>10</u>] 5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages: <u>9</u>] <ol style="list-style-type: none"> a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <i>(for continuation/divisional with Box 18 completed)</i> c. <input type="checkbox"/> DELETION OF INVENTOR(S) <ol style="list-style-type: none"> i. Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 7. <input type="checkbox"/> CD ROM or CDR In Duplicate 8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence <i>(if applicable, all necessary)</i> <ol style="list-style-type: none"> a. <input type="checkbox"/> Computer Readable Form b. Specification Sequence Listing On: <ol style="list-style-type: none"> i. <input type="checkbox"/> CD ROM or CD-R (2X); or ii. <input type="checkbox"/> Paper c. <input type="checkbox"/> Statements verifying identity of above copies | <p>ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450</p> <hr/> <p style="text-align: center;">ACCOMPANYING APPLICATION PARTS</p> <ol style="list-style-type: none"> 9. <input checked="" type="checkbox"/> Assignment Papers <i>(Cover sheet & document(s))</i> 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <i>(when there is an assignee)</i> <input type="checkbox"/> Power of Atty 11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i> 12. <input type="checkbox"/> Information Disclosure Statement <i>(PTO-1449)</i> <input type="checkbox"/> Copies of IDS Citations 13. <input checked="" type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard <i>(MPEP 503)</i> <i>(Should be specifically itemized)</i> 15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 16. <input type="checkbox"/> Non-publication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input type="checkbox"/> Other: |
|---|--|

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation

☐ Divisional

☐ Continuation-in-part (CIP)

Prior application information:

of prior application No.: 09/721,526

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

Group Art Unit: 3737

Examiner: Runa S. Qaderi

19. Correspondence Address:

☐ Customer No.

Insert Customer No. or Affix
Customer No. Label Here

☒ OR Address Below

Correspondence Address: Sheldon K. Lee
Associate GC
Therus Corporation
2401 4th Ave.; Suite 200
Seattle, CA 98121

20. Respectfully Submitted By:

Name: Sheldon K. Lee

Attorney Registration No.: 53,197

Signature:



Date:

August 4, 2003

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence is being deposited with the U.S. Postal Service in a sealed envelope as first class mail with postage thereon fully prepaid addressed to: Mail Stop Patent Application, Commissioner of Patents, PO Box 1450, Alexandria, VA 22313-1450 on August 4, 2003.

Date: August 4, 2003

Signature

Insert Express Mail Label Here:

ER148679298US

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL
for FY 2003☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 375)

Complete if Known

| | |
|------------------------|------------------|
| Application Number | Not yet assigned |
| Filing Date | August 4, 2003 |
| First Named Inventor | Lee Weng, et al. |
| Examiner Name | Not yet assigned |
| Art Unit | Not yet assigned |
| Attorney Docket Number | THRS0004-0002 |

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit
Account
Number
Deposit
Account
Name

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
FEE CALCULATION**1. BASIC FILING FEE**

| Large Entity Fee | | Small Entity Fee | | Fee Description | Fee Paid |
|---------------------|----------|------------------|----------|------------------------|------------|
| Code | Fee (\$) | Code | Fee (\$) | | |
| 1001 | 750 | 2001 | 375 | Utility filing fee | 375 |
| 1002 | 330 | 2002 | 165 | Design filing fee | |
| 1003 | 520 | 2003 | 260 | Plant filing fee | |
| 1004 | 750 | 2004 | 375 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |
| SUBTOTAL (1) | | | | | 375 |

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Independent Claims 2 -3** = 0 X 0 = 0
 Multiple Dependent 0 0 = 0

1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) 0

**or number previously paid. If greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

| Large Entity Fee | | Small Entity Fee | | Fee Description | Fee Paid |
|------------------|----------|------------------|----------|--|----------|
| Code | Fee (\$) | Code | Fee (\$) | | |
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1053 | 130 | 1053 | 130 | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| 1252 | 410 | 2252 | 205 | Extension for reply within second month | |
| 1253 | 930 | 2253 | 465 | Extension for reply within third month | |
| 1254 | 1,450 | 2254 | 725 | Extension for reply within fourth month | |
| 1255 | 1,970 | 2255 | 985 | Extension for reply within fifth month | |
| 1401 | 320 | 2401 | 160 | Notice of Appeal | |
| 1402 | 320 | 2402 | 160 | Filing a brief in support of an appeal | |
| 1403 | 280 | 2403 | 140 | Request for oral hearing | |
| 1451 | 1,510 | 1451 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | |
| 1453 | 1,300 | 2453 | 650 | Petition to revive - unintentional | |
| 1501 | 1,300 | 2501 | 650 | Utility issue fee (or reissue) | |
| 1502 | 470 | 2502 | 235 | Design issue fee | |
| 1503 | 630 | 2503 | 315 | Plant issue fee | |
| 1460 | 130 | 1460 | 130 | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | |
| 1809 | 750 | 2809 | 375 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 1810 | 750 | 2810 | 375 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 1801 | 750 | 2801 | 375 | Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of design application | |

Other Fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)0**SUBMITTED BY**

(Complete (if applicable))

| | | | | | |
|-------------------|---|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Sheldon K. Lee | Registration No. (Attorney/Agent) | 53,197 | Telephone | (206) 832-4636 |
| Signature |  | ER 148679298 VS | | Date | August 4, 2003 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

UTILITY PATENT APPLICATION AND FEE TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

INCOMPLETE

Attorney Docket No. THRS0004

Date: November 22, 2000

Inventor(s): Lee Weng, David Perozek, Jimin Zhang, and Joseph E. Eichinger

Title CONTROLLED HIGH EFFICIENCY LESION FORMATION USING HIGH INTENSITY ULTRASOUND

FULL NAME OF FIRST NAMED INVENTOR: Lee Weng COUNTRY OF CITIZENSHIP: US

RESIDENCE ADDRESS OF INVENTOR: 4452 170th Avenue S.E., Bellevue, Washington 98006

FULL NAME OF SECOND NAMED INVENTOR: David M. Perozek COUNTRY OF CITIZENSHIP: US

RESIDENCE ADDRESS OF INVENTOR: 5237 - 82nd Avenue S.E., Mercer Island, Washington 98040

FULL NAME OF THIRD NAMED INVENTOR: Jimin Zhang COUNTRY OF CITIZENSHIP: US

RESIDENCE ADDRESS OF INVENTOR: 14116 S.E. 46th Street, Bellevue, Washington 98006

FULL NAME OF FOURTH NAMED INVENTOR: Joseph E. Eichinger COUNTRY OF CITIZENSHIP: US

RESIDENCE ADDRESS OF INVENTOR: 234 Alverson Blvd., Everett, Washington 98201

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal (BELOW)
2. ☒ Applicant claims small entity status. See 37 C.F.R. § 1.27.
3. ☒ Specification [Total Pages 22]
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10] [FORMAL]
5. ☐ Oath or Declaration [Total Pages]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Item 5 below]
 - ii. ☐ DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 C.F.R. § 1.76
7. ☐ CD-ROM or CD-R in duplicated, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. ☐ Specification Sequence Listing on: ☐ i. CD-ROM or CD-R (2 copies); or ☐ i. Paper
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be itemized specifically)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Other: _____

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 60/167,707, filed November 26, 1999

Prior application information: Examiner: _____ Group / Art Unit: _____

For CONTINUATION OR DIVISIONAL APPLICATIONS only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

Client Copy

Correspondence address below:

Ronald M. Anderson
LAW OFFICES OF RONALD M. ANDERSON
600 - 108th Avenue N.E., Suite 507
Bellevue, WA 98004

Telephone: 425-688-8816

Facsimile: 425-646-6314

FEE TRANSMITTAL

| METHOD OF PAYMENT (check one) | | FEE CALCULATION (continued) | |
|---|----------------|--|----------|
| 1. _____ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number _____ Deposit Account Name: _____ _____ Charge Any Additional Fee Required Under 37 CFR 1.16 & 1.17 _____ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance | | 3. ADDITIONAL FEES (Continued) | |
| 2. _____ Payment Enclosed: _____ Check (No. _____) Money Order _____ Other <input checked="" type="checkbox"/> Payment NOT Enclosed | | | |
| FEE CALCULATION | | | |
| 1. BASIC FILING FEE | | | |
| Fee Description | Fee Paid | Fee Description | Fee Paid |
| Utility filing fee | \$ _____ | Requesting publication of SIR after Examiner action | |
| Design filing fee | \$ _____ | Extension for reply within first month | |
| Plant filing fee | \$ _____ | Extension for reply within second month | |
| Reissue filing fee | \$ _____ | Extension for reply within third month | |
| Provisional filing fee | \$ _____ | Extension for reply within fourth month | |
| | | Extension for reply within fifth month | |
| | | Notice of Appeal | |
| | | Filing a brief in support of an appeal | |
| | | Request for oral hearing | |
| | | Petition to institute a public use proceeding | |
| | | Petition to revive - unavoidable | |
| | | Petition to revive - unintentional | |
| | | Utility issue fee (or reissue) | |
| | | Design issue fee | |
| | | Plant issue fee | |
| | | Petitions to the Commissioner | |
| | | Petitions related to provisional applications | |
| | | Submission of Information Disclosure Statement | |
| | | Recording each patent assignment per property (times number of properties) | |
| | | Submission after final rejection (37 C.F.R. 1.129(a)) | |
| | | Add'l invention to be examined (37 CFR 1.129(b)) | |
| | | Other fee (specify) | |
| SUBTOTAL (1) \$ _____ | | SUBTOTAL (3) \$ _____ | |
| 2. EXTRA CLAIM FEES | | | |
| Extra Claims | Fee from below | | |
| Total Claims -20 = _ x | \$9 = \$ | | |
| Independent Claims - 3 = _ x | \$40 = \$ | | |
| Multiple Dependent -0- x | \$135 = \$ | | |
| SUBTOTAL (2) \$ _____ | | | |
| FEES (SUBTOTALS (1) & (2)) \$ _____ | | | |
| 3. ADDITIONAL FEES | | | |
| Surcharge - late filing fee or oath | | | |
| Surcharge - late provisional filing fee or cover sheet | | | |
| Non-English specification | | | |
| Request for reexamination | | | |
| Requesting publication of SIR after Examiner action | | | |
| TOTAL FEES ENCLOSED: \$ -0- | | | |

Typed/Printed Name

Ronald M. Anderson

Signature

Ron Anderson

Registration Number: 28,829

Date: November 22, 2000

EXPRESS MAIL CERTIFICATE

Express Mail Label No. EL442740349US

Date of Deposit: November 22, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

KATHY PAULINO

(Name of person mailing paper/fee)

Kathy Paulino
(Signature of person mailing paper or fee)